

POLICY: RECORD SETS OF DSA APPROVED PLANS AND SPECS

DISCIPLINE(S): All

PURPOSE: The purpose of this policy is to implement that statutory requirements of Section 17304 of the California Education Code and provide guidance pending revision of the regulations in Section 4-318 of Title 24, Part 1. The Education Code requires the creation of a copy (known as the Record Set) of the final approved set of plans and specifications, by the Department of General Services, at client expense.

1. POLICY (Effective July 1, 2015):

1.1. Documents Retained by DSA – After the plans and specifications have been approved by DSA they will be retained by the DSA Regional Office and an official Record Set made.

1.2. Return of Documents – Not later than five working days after the original documents are initialed and dated by DSA they will be made available for return to the client.

A form [DSA 145: Record Set Handling](#) must be submitted to DSA at the time of the back check to instruct DSA staff on the method requested for returning the documents.

The documents may be picked up by the architect or engineer in general responsible charge or a representative.

Alternatively, the architect or engineer will provide an account number for one of the delivery services listed on the DSA 145 for return of the drawings at client expense. DSA will package and label the documents and notify the service that they are ready for pickup.

1.3. Approval Letter – Not later than five working days after the documents have been approved, DSA shall issue the approval letter.

1.4. Expense – Effective July 1, 2015 upon approval of the plans and specifications, DSA will release those documents to the reprographics firm that has been selected by the client. Said reprographics firm will scan approved plans and specifications and return original documents along with an electronic copy to DSA, at client's expense.

REFERENCES:

DSA Internal Procedure PR 06-01: Record Set Handling - Attached

California Code of Regulations (CCR) Title 24

Part 1, California Administrative Code, Section 4-318

California Education Code Sections 17297 and 17304

A DSA Policy is a formally established set of governing statements based on law and code objectives, addressing any aspect of DSA's plan and construction review program that is not clearly addressed by code. A Policy also may specify administrative or technical requirements that are not yet addressed within Title 24, but are deemed important and necessary to fulfill code objectives in advance of adoption into the code.

INTERNAL PROCEDURE: RECORD SET HANDLING

PURPOSE: The purpose of this procedure is to provide staff with guidance and instructions regarding the handling of Record Sets. This procedure will cover the receipt of documents, creation of a Record Set, return of documents, and the forms involved.

PROCEDURE:

1. RECEIPT OF DOCUMENTS FROM CLIENT

1.1 The client arrives at the DSA with original documents, which include a sheet index, full set of drawings, and specifications for back check.

1.2 The client meets with the assigned Plan Reviewer.

- The Plan Reviewer is the DSA staff person performing the back check review.
- If a consultant is assigned to do the back check, then the Plan Reviewer will be a DSA supervisor, or his/her designee.

2. RESPONSIBILITIES OF THE PLAN REVIEWER

Upon completion of the back check, the Plan Reviewer also completes the **Original Document Control Sheet**. This includes the following tasks:

- a) Verify that the **Record Set Handling** form DSA 145 is filled out and signed by the client.
- b) Verify that the original drawings and specifications are readable and will allow for a clean scan.
- c) Fill out the "FOR DSA USE ONLY" section of the Record Set Handling form DSA 145; verify that the sheet index reflects the actual documents provided by the client and make the appropriate number of copies of the DSA 145 form (three copies for mail-out/two copies for pickup).
- d) Make two copies of the sheet index and attach one to the Original Document Control Sheet and place the other in the red file.
- e) Provide a copy of the Record Set Handling form DSA 145 to the client as a receipt.
- f) Give all check sets to the client and advise the client to keep the check sets until the original documents are returned. This is in the unlikely event that the original documents are lost and back check must be redone.
- g) Attach form DSA 145 form to the original documents and hand deliver them along with the Original Document Control Sheet to the Scan Personnel. The Scan Personnel receives the Original Document Control Sheet, initials and dates it.
 1. **Scan Personnel** logs in the original document(s) as received on the scan tracking log.
 2. **Scan Personnel** attaches the Original Document Control Sheet to a clipboard or places it in a basket in the scanning area.
 3. Original documents are then placed in a bin marked "Repro Pickup" with the original DSA 145 form(s) attached.

3. RESPONSIBILITIES OF THE CLIENT

3.1 The client fills out and signs form DSA 145, which must include an account number for the delivery service if original documents are returned by DSA via (mail, Fed-Ex, etc.).

3.2 The client will not be permitted to take possession of the original documents until after they

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have been copied by the Reprographics Firm and validated/uploaded by DSA.

3.3 Client contacts a reprographics firm to pick up the original documents, make copies and return the original documents to DSA.

For Repro Pickup:

- 1) Provide reprographics firm with the application number and project name.

3.4 Client receives original documents back from DSA.

For Client Pickup:

- 1) Provide application number and project name to DSA Reception Personnel.
- 2) Fill out the Pickup Verification section on form DSA 145 and obtain copy as a receipt.

4. RESPONSIBILITIES OF THE REPROGRAPHICS FIRM

The Reprographics Firm shall return the original documents to the DSA within **24 hours** of pickup.

- a) Pick up original documents from the DSA Regional Office.
- b) Provide application number and project name to Reception Personnel.
- c) Fill out "Project Information and Pickup" sections of the DSA Reprographics Scanning Log located at the reception desk indicating the prints are out to your firm.
- d) The original documents are not to be marked on or tampered with by any person, including the client.
- e) Scan specifications in PDF format.
- f) Scan original drawings "as is" in TIFF format (using CCITT G4 compression) leaving the pages in the order they were received. Do not label pages with the "drawing/sheet number." Label each sheet with the application number – page number (e.g. 04-114235 – 001, etc.).
- g) A separate CD must be produced for each application number and properly labeled.
- h) Return original documents and CD to the DSA Regional Office.
- i) Complete "Return Information" section on the Reprographics Scanning Log.

5. RESPONSIBILITIES OF THE RECEPTION/SCAN PERSONNEL

Receive original documents from reprographics firm.

- a) Place original documents in the "TO BE VALIDATED" bin.
- b) Work on projects in the order they were received/returned by the reprographics firm, maintaining the five-day turnaround.
- c) Place CD in drive and copy into Images or designated folder.
- d) Combine TIFF images into PDF and follow bookmarking instructions per the Scan and Upload Record Set as One PDF Procedures implemented on February 17, 2015.
- e) Import record set image and specifications into Batch Manager, validate and release.
- f) Check ADM to ensure original documents were properly uploaded.

6. RETURN OF ORIGINAL DOCUMENTS

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The Scan Personnel reviews the DSA 145 form to verify how the client would like to have its original documents returned.

*Processing the DSA 145 Form:***For Pickup:**

- 1) Contact client informing them that the original documents are ready to be picked up.
- 2) Enter date client was contacted under the "FOR DSA USE ONLY" section and initial.
- 3) Have client complete "Pickup Verification" section on the DSA 145 form and provide a copy as the client's receipt.
- 4) Scan Personnel enters DSA 145 information into e-Tracker under Plan Review>Scan Information – "Client Hand Pickup."
- 5) Scan Personnel then scans the DSA 145 form and uploads it into ADM.

For Mail Out:

- 1) Scan Personnel places the original documents in "Mail Out" bin.
- 2) Mail Personnel verifies the method of delivery indicated on the DSA 145 form, which must include an account number for the delivery service being used and prepares shipment accordingly, along with a copy of the DSA 145. **DSA does not pay for shipping.**
- 3) Mail Personnel applies tracking number label to the bottom of the original DSA 145 form and returns it to the Scan Personnel.
- 4) Scan Personnel enters DSA 145 information into e-Tracker under Plan Review>Scan Information – "Delivery By Carrier."
- 5) Scan Personnel then scans the DSA 145 form and uploads it into ADM.

Processing the Original Document Control Sheet Form

- a) Scan Personnel verifies that the Original Document Control Sheet is complete.
- b) Scan and upload form into ADM.
- c) Place form in recycle bin.

Original Document Control Sheet

(Note: DSA 145 must be completed and attached)

Application Number: _____ File Number: _____

Project Name: _____

Number of Drawings: _____ Specifications? Yes _____ No _____

Responsible Plan Reviewer: (print name) _____

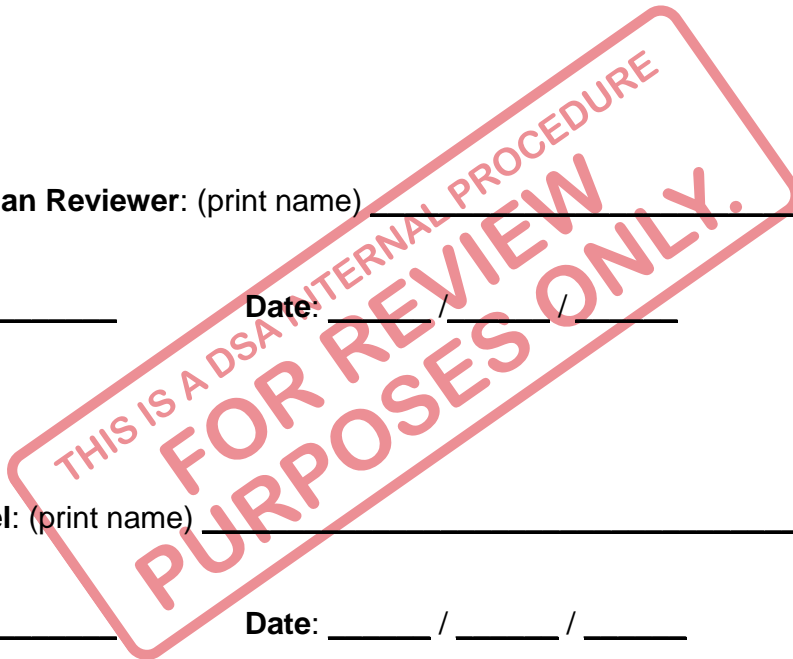
Initial: _____ Date: ____ / ____ / ____

Scan Personnel: (print name) _____

Initial: _____ Date: ____ / ____ / ____

Mailroom Personnel: (print name) _____

Initial: _____ Date: ____ / ____ / ____





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FOR DSA USE ONLY

File No. _____ - _____

Application # _____ - _____

Project Name _____

Please return the original plans and specifications as instructed below (client must check appropriate box below):

DSA stamped plans and specifications

Check all that apply: ☐ Plans ☐ Specs

Total number of drawings _____

Stamped date _____

Submittal

Record Set

Increment Description (e.g. CO#, Add#)

Call for pickup _____

☐ I will have my representative pick up the original documents.

Call me _____ at _____ for pickup.

☐ Please package and ship original documents via the delivery services indicated:

My account number: _____ Method of Delivery: _____
(e.g. ground, next day, etc.)

Insurance Requested: ☐ Yes ☐ No Declared Value: _____
(Enter -0- if no insurance is requested)

I understand the risk inherent in shipping documents using the delivery method indicated above and agree to hold the State harmless for any loss or damage to the original plans and specifications that may be incurred. I agree to pay the shipping cost.

Signature: _____ Date: _____

Name: _____ Email: _____
(PRINT NAME)

Ship to Attention: _____

Company: _____ Street: _____

City: _____ State: CA Zip Code: _____ Phone: _____

Pickup Verification:

I picked up the original documents for the referenced project:

Name: _____ Title: _____

Company: _____ Date: _____

Signature: _____

RECORD SET HANDLING**Reprographics Letter (Use Regional Office Letterhead)****PROCEDURES FOR SUBMITTING
RECORD SETS AND SPECIFICATIONS
TO THE DIVISION OF THE STATE ARCHITECT**

Upon approval and stamp out of plans, clients are requested to arrange for electronic copies to be made and submitted to DSA prior to the release of the original drawings. The plans will only be released to a reprographic firm.

The following directions apply to the printing of record sets and specifications:

1. Pick up the prints at DSA Regional Office at address below. (The person making the pickup **must know the DSA Application Number and Name of Project.**)
2. Make sure the project is entered on the DSA desk log and indicate that the prints are out to your firm.
3. The prints are not to be marked on by any person, including the Client.
4. An electronic copy of the prints must be made for DSA following the below criteria/formatting.
5. A separate CD must be produced for each project (each application number) and marked with the application number.
6. Return the original prints and one CD electronic copy to DSA Regional Office within 24 hours of pick up.
7. Make sure the project is entered into the DSA desk log as returned.
8. DSA will return the record set and original documents to the applicant after uploading them into the DSA system.

The specifications for the electronic copy are as follows:**Project Plans**

- **TIF** format using **CCITT G4** compression.
- **300 DPI** resolution.
- Leave pages in the order they were received.
- Do not label pages with the "drawing/sheet number."
- Label each sheet with the application number-page number (e.g. 04-114235-001, etc.).

Project Specifications

- PDF format
- Label specifications as APPLICATION #_SPECS

[illegible]